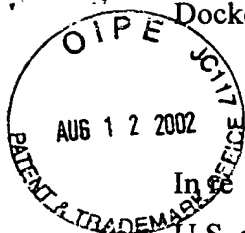


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Docket No. 17066/00103



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

U.S. application: John NAFEH and Kenton K. YEE  
For: METHODS AND APPARATUS FOR FORMULATION,  
INITIAL PUBLIC OR PRIVATE OFFERING, AND  
SECONDARY MARKET TRADING OF RISK MANAGEMENT  
CONTRACTS

U.S. Serial No.: 09/923,035  
Confirmation No.: 8962  
Filed: August 6, 2001  
Group Art Unit: 3628  
Examiner: Clement B. Graham

Assistant Commissioner For Patents  
Washington, D.C. 20231

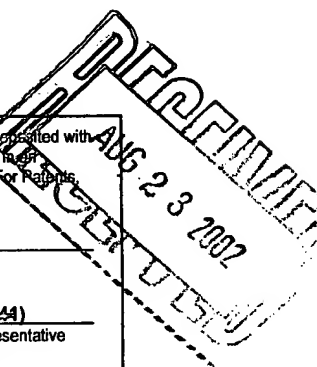
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231 on:

August 6, 2002  
Date of Deposit

Thomas N. Tarnay (Reg. No. 41,344)  
Name of Applicant, Assignee, or Registered Representative

Signature

August 6, 2002  
Date of Signature



Dear Sir:

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GROUP 3600

SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT

In compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, Applicants wish to bring the following items to the attention of the Examiner. A copy of each item is enclosed for the convenience of the Examiner.

- (1) Presentation: OPEX – the open exchange, Business Case and Proposal, January 4, 1999;
- (2) Executive Brief, XnO Software, May 1999; and
- (3) Business Plan, Open Exchange, Inc., September 2000.

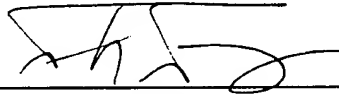
The above-referenced items have been provided to Applicants in the form of a copy of a Third Party Submission Under 37 C.F.R. § 1.99 which was supposedly mailed to the U.S. Patent and Trademark Office by the third party on July 31, 2002. A copy of the Third Party Submission Under 37 C.F.R. § 1.99 is provided for reference. However, to be certain that this material is made known to the Examiner, and to comply with Applicants' duty of disclosure, Applicants' submit this Supplemental Information Disclosure Statement and accompanying PTO Form-1449.

No representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of these materials in any way reflects their relative pertinence. The references cited are not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that the items listed above are properly citable against the above-identified application.

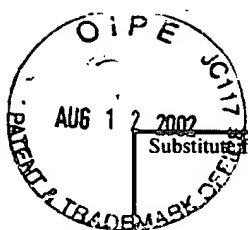
As this Supplemental Information Disclosure Statement is being filed before receipt of the first office action, Applicant believes that no fee is incurred. If a fee is required, please charge any fee (except the issue fee) required during the pendency of this application to SIDLEY AUSTIN BROWN & WOOD LLP's Deposit Account No. 18-1260. Please credit any overpayment to Deposit Account No. 18-1260.

Respectfully submitted,

By: \_\_\_\_\_

  
Thomas N. Tarnay  
Registration No. 41,341  
Attorney for Applicants

TNT/fis  
SIDLEY AUSTIN BROWN & WOOD LLP  
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August 6, 2002



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Substitute for form 1449A/PTO

Complete if Known

**SUPPLEMENTAL**  
**INFORMATION DISCLOSURE**  
**STATEMENT BY APPLICANT**

Application Number	09/923,035
Confirmation No.:	8962
Filing Date	August 6, 2001
First Inventor	John NAFEH et al.
Group Art Unit	3628
Examiner Name	Clement B. Graham
Attorney Docket No.	17066/00103

Sheet 1 of 1

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite #	DOCUMENT NUMBER	C O D E	PATENTEE	ISSUE DATE (mm/dd/yy)	CLASS	SUB CLASS	Filing Date if Appropriate

**FOREIGN PATENT DOCUMENTS**

Examiner Initials		O F F I C E	NUMBER	C O D E	PUBLICATION DATE (mm/dd/yy)	TRANSLATION Yes No

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GROUP 3600

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published
	Presentation: OPEX – the open exchange, Business Case and Proposal, January 4, 1999 (41 pages)
	Executive Brief, XnO Software, May 1999 (1 page)
	Business Plan, Open Exchange, Inc., September 2000 (pp. 1-15)
Examiner Signature	Date Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with the next communication to applicant.



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PATENT  
0505-8001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John NAFEH et al. Art Unit:  
Filed: August 6, 2001 Examiner:  
Serial No.: 09/923,035  
Publication No.: US 2002/0069155 Publication Date: June 6, 2002  
Title: METHODS AND APPARATUS FOR FORMULATION, INITIAL PUBLIC OR  
PRIVATE OFFERING, AND SECONDARY MARKET TRADING OF RISK  
MANAGEMENT CONTRACTS

**THIRD PARTY SUBMISSION UNDER 37 C.F.R. 1.99**

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

This Third Party Submission is filed in accordance with 37 C.F.R. § 1.99, by a member of the public, Exchange Lab, Inc., represented by the undersigned attorney.

The items listed on Form PTO 1449, copies of which are enclosed, are submitted to assist the Patent Office in its examination of this application. All items are in the English language.

I certify that a copy of this Submission and references has been served upon the applicant, via its attorney, Sidley Austin Brown & Wood, in compliance with 37 C.F.R. 1.248(b).

A check for the fee set forth in 37 C.F.R. § 1.17(p) is enclosed.

Respectfully submitted,

Date: July 31, 2002

Law Office of Brenda Pomerance  
260 West 52 St. Ste. 27B  
New York, NY 10019  
voice/fax 212 245-3940  
bpomerance@telocity.com

Brenda Pomerance  
Brenda Pomerance  
Reg. No. 36,894

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G. J. S. S. S.

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Substitute Form PTO 1449

**INFORMATION DISCLOSURE STATEMENT**

Sheet 1 of 1

Application No.	09/923,035
Filing Date	August 6, 2001
Inventor	Nafeh et al.
Group Art Unit	
Examiner	
Atty. Docket No.	0505-8001

**U.S. PATENT DOCUMENTS**

Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
	AA					
	AB					

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (√)
		Office	Number	Kind Code				
	BA							
	BB							

**OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (√)
	CA	Presentation: OPEX -- the open exchange, Business Case and Proposal, January 4, 1999	
	CB	Executive Brief, XnO Software, May 1999	
	CC	Business Plan, Open Exchange, Inc., September 2000	

Examiner Signature		Date Considered	
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